



PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<b>Applicant:</b> MAGGIONCALDA, Jeff N.	<b>Examiner:</b> DIXON, Thomas A.
<b>Serial No.:</b> 09/904,707	<b>Group Art Unit:</b> 3629
<b>Filed:</b> July 12, 2001	
<b>For:</b> User Interface for a Financial Advisory System That Allows an End User to Interactively Explore Tradeoffs Among Input Decisions (as previously amended)	<b>Docket No.</b> 59036-249737

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

I CERTIFY THAT, ON JULY 14, 2004, THIS PAPER IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO THE MAIL STOP AMENDMENT, COMMISSIONER FOR PATENTS, P. O. BOX 1450, ALEXANDRIA, VA 22313-1450.

*Denise E. Voris*  
Denise E. Voris

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

The documents listed on the enclosed Form PTO/SB/08a (05-03) are presented under 37 C.F.R. § 1.97(c) pursuant to Applicant's duty of disclosure. Copies of each of these documents are enclosed. Therefore, applicant has included a fee under § 1.17(p) of \$180.00.

The Applicant hereby makes the following information of record in the above-identified application. The co-pending patent application listed below is owned by the assignee and discloses subject matter related to the subject matter disclosed in the present application.

Serial No./ Publication No.	Filing Date/ Publication Date	Title	Atty. Docket No.
09/495,982 07/16/2004 HLE333 00000092 09904707 01 FC:1806	01 Feb 2000 180.00 OP	Identifying a Recommended Portfolio of Financial Products for an Investor Based Upon Financial Products That are Available to the Investor (as previously amended)	59036-249728

Enclosed is our credit card payment form in the amount of \$180.00 for the submission of the Supplemental Information Disclosure Statement. The Commissioner is authorized to charge any additional fees or credit any overpayment to Deposit Account No. 06-0029 and notify us of the same.

If the examiner has any questions, please contact the undersigned attorney.

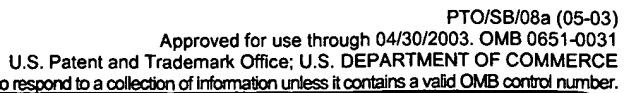
Respectfully Submitted,

MAGGIONCALDA, Jeff N. et al.

By: 

Michael A. DeSanctis, #39,957  
Special Counsel  
Faegre & Benson LLP  
3200 Wells Fargo Center  
1700 Lincoln Street  
Denver, CO 80203-4532  
303-607-3633

Dated: July 14, 2004



Substitute for form 1449A/PTO

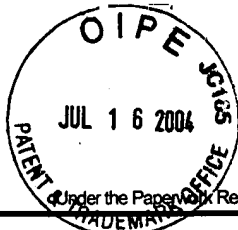
*(use as many sheets as necessary)*

Sheet	1	of	2
-------	---	----	---

**Complete if Known**

Application Number	09/904,707
Filing Date	July 12, 2001
First Named Inventor	Jeff N. Maggioncalda et al.
Art Unit	3629
Examiner Name	Thomas A. Dixon
Attorney Docket Number	59036-249737

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*



PTO/SB/08b(05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 2 of 2

**Complete if Known**

Application Number	09/904,707
Filing Date	July 12, 2001
First Named Inventor	Jeff N. Maggioncalda et al.
Group Art Unit	3629
Examiner Name	Thomas A. Dixon
Attorney Docket Number	59036-249737

**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	12	"Asset Allocation: Management Style & Performance Measurement", Sharpe.	
	13	"Interactive Software Eases 401k Planning", Anonymous, Bank Marketing, Vol. 26, No. 10, p. 10 (October 1994) – dialog copy 1 pg.	
	14	"Interactive Variable Control During Visualization of Mathematical Functions", IBM Technology Disclosure Bulletin, Vol. 34, No. 9, pp. 288-299 (February 1992) – XP002102286.	
	15	"Microsoft Excel 97 Intermediate Level Exercise Workbook" Manual, Further Functions, Excel 97 Intermediate, Cheltenham Computer Training, ww.cctglobal.com, pp. 26-30 (1995-2001).	
	16	"Elements of Financial Science", Takeaki Kariya, Toyo Keizai Shimpo, K.K., Chapter 5, pp. 71-101 and Chapter 7, pp. 117-133 (September 25, 1997).	No

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.